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EXHIBIT D

August 2012

Curriculum Vitae

Personal Data

Name: Paul S. Appelbaum, M.D.

Title: Elizabeth K. Dollard Professor of Psychiatry, Medicine, and Law
Director, Division of Psychiatry, Law and Ethics
Department of Psychiatry
Columbia University College of Physicians and Surgeons

Research Scientist
New York State Psychiatric Institute

Director, Center for Research on the Ethical, Legal and Social Implications
(ELSI) of Psychiatric, Neurologic, & Behavioral Genetics
Department of Psychiatry
Columbia University College of Physicians and Surgeons

Address: New York State Psychiatric Institute/
Columbia University Medical Center
1051 Riverside Drive, Box 122
New York, NY 10032 (office)

Date of Birth: November 30, 1951
Place of Birth: Brooklyn, New York

Academic Training

1968	Stuyvesant High School, NY
1972 A.B.	Columbia College (Biology)
1976 M.D.	Harvard Medical School
1979-1980	Harvard Law School (special student)
1983-1984	Graduate School of Public Health, University of Pittsburgh (special student)

Traineeship

1976-1977	Intern in Medicine, Soroka Hospital, Beersheva, Israel
1977-1979	Resident in Psychiatry, Massachusetts Mental Health Center/Harvard Medical School, Boston, MA
1979-1980	Chief Resident in Legal Psychiatry, Massachusetts Mental Health Center/Harvard Medical School, Boston, MA
1979-1980	Fellow in Mental Health Administration, Massachusetts Mental Health Center/Harvard Medical School, Boston, MA

Licensure and Certification

1977	Massachusetts License No. 53808 (no longer active)
1980	Pennsylvania License No. MD-023867-E (no longer active)

1981	Board Certification in Psychiatry, American Board of Psychiatry and Neurology, Certificate #22719
1988	District of Columbia License No. 17336 (no longer active)
1994	Added Qualifications in Forensic Psychiatry, American Board of Psychiatry and Neurology, Certificate #18 (renewed, 2004)
2005	New York License No. 237042

Professional Organizations and Societies

Memberships in Professional Societies:

1979-	American Psychiatric Association
1979-1980	Massachusetts Psychiatric Society
1980-1984	Pennsylvania Psychiatric Society
1980-	American Academy of Psychiatry and the Law
1983-	American Society of Law, Medicine, and Ethics
1984-2006	Massachusetts Psychiatric Society
1988-	International Academy of Law and Mental Health
1996-2005	Association for the Advancement of Philosophy and Psychiatry
1998-2006	American Medical Association
2005-2009	American College of Psychiatrists
2005-	New York Academy of Medicine
2006-	New York County Psychiatric Society
2006-	New York Psychiatric Society
2007-	International Neuroethics Society
2011-	American College of Neuropsychopharmacology

Service:

American Psychiatric Association:

1980-1984	Committee on State Hospitals, (corresponding member 1982-1984)
1980-1983	Task Force on Psychiatric Participation in Sentencing
1981-1990	Commission on Judicial Action (consultant 1981-1984; chairman 1984-1990)
1984-1994	Joint Reference Committee (ex-officio member)
1984-1986	Task Force on Tardive Dyskinesia (consultant)
1990-1995	Council on Psychiatry and Law (chair, 1990-1994)
1995-2001	Isaac Ray Award Board (chair, 1995-2000)
1995-2000	Committee on the Use of the Litigation Fund (vice-chair, 1999-2000)
1997-2006	Board of Trustees
1997-1999	Secretary
1997-1999	Ethics Appeals Board (chair)
1997-1998	Task Force to Review APA Conflict of Interest Policy
1998-1999	Editorial Advisory Committee (chair)
1998-1999	Board Subcommittee to Review the By-Laws of the Research Institute
1999-2001	Vice-President
1999-2002	Joint Reference Committee (chair, 2001-2002)
1999-2001	Committee on District Branch Relations (consultant, 1999-2000;

chair, 2000-2001)

1999 Task Force to Review Future Options for the Journal of Psychotherapy Practice and Research (chair)

2000 Ad Hoc Task Force to Develop Procedures for Revenue Sharing (co-chair)

1999-2002 Commission on Public Policy, Advocacy and Litigation (consultant, 2001-2002)

2000 Work Group on Selection of Directors for the American Psychiatric Publishing Group (chair)

2000-2002 Task Force on Research Ethics (Board liaison)

2001-2002 President-Elect

2001-2003 Board of Directors, American Psychiatric Institute for Research & Education (Executive Committee, 2001-2003)

2001-2003 Board of Directors, American Psychiatric Publishing, Inc.

2001-2003 Distinguished Service Award Committee (chair)

2002-2003 President

2003-2004 Nominating Committee (chair)

2004- Council on Psychiatry & Law (chair, 2004-2008; corresponding member, 2011-)

2004-2008 Joint Reference Committee (ex officio)

2004-2008 Committee on Advocacy & Litigation Funding

2008-2010 Ad Hoc Workgroup on Relationships Between Psychiatrists and Industry (chair)

2009- Committee on Judicial Action (consultant, 2009-2010; chair 2010-)

2011 Distinguished Service Award Committee

2012- DSM-5 Summit Group

2012- Medical Director Search Committee (chair)

American Academy of Psychiatry and the Law:

1982-1985 Program Committee

1984-1986 Committee on Ethics

1984-1986 Rapoport Fellowship Committee (chairman)

1987-1990 Councilor

1995-1996 President (president-elect, 1994-1995; executive council, 1994-1997)

1997-2002 Long Range Planning Committee

1997-1999 Nominating Committee

1998-2000 Awards Committee (chair, 1998-2000)

Massachusetts Psychiatric Society:

1992-1993 President (president-elect, 1991-1992; executive committee, 1991-1994)

1995 Task Force on Confidentiality (chair)

Academic Appointments

1977-1980 Clinical Fellow in Psychiatry, Harvard Medical School

1980-1984 Assistant Professor of Psychiatry, University of Pittsburgh School of Medicine

1981-1982	Assistant Professor of Law (secondary appointment), University of Pittsburgh School of Law
1982-1984	Associate Professor of Law (secondary appointment), University of Pittsburgh School of Law
1984	Associate Professor of Psychiatry, University of Pittsburgh School of Medicine
1984-1985	Lecturer in Psychiatry, Harvard Medical School
1985	Associate Professor of Psychiatry, Harvard Medical School
1988-1989	Visiting Interdisciplinary Professor, Georgetown University Law Center
1985-2005	A.F. Zeleznik Distinguished Professor of Psychiatry, University of Massachusetts Medical School, Worcester, MA (tenured)
1992-2005	Chairman, Department of Psychiatry, University of Massachusetts Medical School
1996-1997	Fellow, Center for Advanced Study in the Behavioral Sciences, Stanford, CA
2006-	Faculty Associate, Columbia University Center for Bioethics
2006-	Affiliated Faculty Member, Columbia Law School
2006-	Member, Center for Human Genetics, Columbia University
2006-	Elizabeth K. Dollard Professor of Psychiatry, Medicine, and Law, and Director, Division of Psychiatry, Law and Ethics, Department of Psychiatry, Columbia University College of Physicians and Surgeons (tenured)

Hospital Appointments

1979-1980	Director, Legal Psychiatry Consultation Service, Massachusetts Mental Health Center, Boston, MA
1980-1981	Medical Consultant, Family Therapy Clinic, Western Psychiatric Institute and Clinic, Pittsburgh, PA
1980-1984	Consultant, Law and Psychiatry Consult Service, Western Psychiatric Institute and Clinic, Pittsburgh, PA
1981-1984	Medical Consultant, Special Therapies and Mood Disorders Modules, Western Psychiatric Institute and Clinic, Pittsburgh, PA
1983-1984	Co-director, Law and Psychiatry Program, Western Psychiatric Institute and Clinic, Pittsburgh, PA
1984	Director, Law and Psychiatry Program, Western Psychiatric Institute and Clinic, Pittsburgh, PA
1984-1985	Executive Officer, Massachusetts Mental Health Center, Boston, MA
1984-1985	Director, Program in Psychiatry and the Law, Massachusetts Mental Health Center, Boston, MA
1985-2005	Director, Law and Psychiatry Program, University of Massachusetts Medical School, Worcester, MA
1992-2005	Chairman, Department of Psychiatry, University of Massachusetts Medical Center/UMass Memorial Medical Center
2006-	Attending Psychiatrist, New York Presbyterian Hospital
2006-	Research Psychiatrist, New York State Psychiatric Institute

Honors

1972	Phi Beta Kappa
1979-1980	Sol. W. Ginzburg Fellowship, Group for the Advancement of Psychiatry
1980	Honorable Mention, 22nd Annual Harry C. Solomon Essay Award, Massachusetts Mental Health Center
1981	First Prize, 23rd Annual Harry C. Solomon Essay Award, Massachusetts Mental Health Center
1983	Manfred S. Guttmacher Award of the American Psychiatric Association and the American Academy of Psychiatry and the Law for the outstanding contribution to the literature of forensic psychiatry (awarded for the <i>Clinical Handbook of Psychiatry and the Law</i>)
1983	3rd Annual Norbert Enzer Memorial Lecture, Mt. Sinai Hospital, Milwaukee
1983-1984	Research Scientist Career Awardee, National Institute of Mental Health
1984	Honorable Mention, Nellie Westerman Prize of the American Federation for Clinical Research for research in medical ethics
1986	Dean's Alumni Award, Columbia College
1986	Sam G. Dunn Lecture in Medicine and the Humanities, University of Texas Medical Branch at Galveston
1986	4th Samuel and Kathryn Yochelson Lecture, Yale University, New Haven
1990	1st Bruce Siegel Memorial Lecture, Mount Carmel Medical Center, Columbus, Ohio
1990	Fellow, American Psychiatric Association
1990	Isaac Ray Award of the American Psychiatric Association for outstanding contributions to forensic psychiatry and the psychiatric aspects of jurisprudence
1991	Isaac Ray Award Lectures: Massachusetts Mental Health Center, Boston; Western Psychiatric Institute and Clinic, Pittsburgh
1992-	Best Doctors in America, 1st edition and all subsequent editions
1992-	Who's Who in America, 43rd edition and all subsequent editions
1992	5th P. Browning Hoffman Memorial Lecture, University of Virginia Law School, Charlottesville
1993	Kinsman Lecture on Medical Ethics, Oregon Health Sciences University, Portland
1993	Saleem Shah Memorial Award of the State Mental Health Forensic Directors Association for contributions to forensic mental health services
1994	Jacob Finesinger Memorial Lecture, University of Maryland Medical School, Baltimore
1994	4th Paul Mendelsohn Memorial Grand Rounds, Tufts-New England Medical Center, Boston
1995	Pfizer Visiting Professor, Department of Psychiatry, University of California at Davis
1995	Will Solimene Award for Excellence in Medical Communication, New England Chapter, American Medical Writers Association (awarded for <i>Almost a Revolution: Mental Health Law and the Limits of Change</i>)

- 1996 Manfred S. Guttmacher Award of the American Psychiatric Association and the American Academy of Psychiatry & the Law for the outstanding contribution to the literature of forensic psychiatry (awarded for *Almost a Revolution: Mental Health Law & the Limits of Change*)
- 1996-1997 Fritz Redlich Fellow, Center for Advanced Study in the Behavioral Sciences
- 1997 Edward J. Strecker, M.D., Award of the Institute of Pennsylvania Hospital and Jefferson Medical College for outstanding contributions in the field of clinical psychiatry
- 1998 Pfizer Visiting Professor, Maryland Psychiatric Research Center, University of Maryland
- 1998 Kenneth Gray Memorial Lecture, Canadian Psychiatric Association Annual Meeting, Halifax
- 1999 13th Charles E. Steinberg Lecture in Psychiatry and Law, University of Rochester School of Medicine, Rochester, NY
- 1999 4th Raymond W. Waggoner Lecture on Ethics and Values in Medicine, University of Michigan Medical Center, Ann Arbor
- 1999 Excellence in Teaching Award, Psychiatric Residency Program, University of Massachusetts Medical School
- 2000 Manfred S. Guttmacher Award of the American Psychiatric Association and The American Academy of Psychiatry and the Law for the outstanding contribution to the literature of forensic psychiatry (awarded for *Assessing Competence to Consent to Treatment: A Guide for Physicians and Other Health Professionals*).
- 2000 Elected to membership in the Institute of Medicine of the National Academy of Sciences
- 2000 26th Herman Dinkel Lecture, Oregon Health Sciences University, Columbia Gorge, Oregon
- 2000 Peter Scott Memorial Lecture, Royal College of Psychiatrists Annual Meeting, Edinburgh, Scotland
- 2000 1st Mark Nordenberg Lecture on Law and Psychiatry, University of Pittsburgh School of Law, Pittsburgh, PA
- 2001 C. Charles Burlingame Award of the Institute of Living for major contributions to the field of psychiatry.
- 2001 Pfizer Visiting Professor, Mount Sinai Medical School, City University of New York.
- 2001 Seymour Pollack Award of the American Academy of Psychiatry and the Law for distinguished contributions to the field of forensic psychiatry.
- 2002 Manfred S. Guttmacher Award of the American Psychiatric Association & the American Academy of Psychiatry and the Law for the outstanding contribution to the literature of forensic psychiatry (awarded for *Rethinking Risk Assessment: The MacArthur Study of Mental Disorder and Violence.*)

- 2002 Phillippe Pinel Award of the International Academy of Law and Mental Health for outstanding contributions to scholarship, pedagogy, and leadership in the field of law and mental health.
- 2002 Fredrick L. Weniger Lecture, Western Psychiatric Institute, University of Pittsburgh Medical School, Pittsburgh, PA.
- 2002 Enid Stokes Lecture, Titus Harris Psychiatric Society, Galveston, TX.
- 2002 1st George Harding IV, MD Lecture on Religion & Psychiatry, Loma Linda University Medical School, Loma Linda, CA
- 2003 Wolfe Adler Lecture, Sheppard Pratt Health System, Baltimore, MD.
- 2003 Distinguished Fellow, American Psychiatric Association
- 2003 12th Roger Alan Moore Lecture on Values & Medicine: Ethical, Religious and Cultural Perspectives, Harvard Medical School, Boston, MA.
- 2003 1st Seth Adams Memorial Lecture, Faulkner Hospital, Boston, MA.
- 2004 Janssens Distinguished Visiting Professor, Department of Psychiatry, Mayo Clinic, Rochester, MN
- 2004 Guide to America's Top Psychiatrists (Consumers' Research Council of America, also 2009)
- 2005 Fellow, American College of Psychiatrists
- 2005 Fellow, New York Academy of Medicine
- 2006 20th Ed Hornick Memorial Lecture, New York Academy of Medicine, New York, NY
- 2006 President's Award of the Massachusetts Psychiatric Society for distinguished contributions to psychiatry
- 2006 George Saslow Lecture, Oregon Health Sciences University, Portland, OR
- 2007 Merck Visiting Scholar, Seton Hall University School of Law, Newark, NJ
- 2007 Best Doctors in New York (and every year since)
- 2007 Honorary Distinguished Member, American Psychology-Law Society
- 2007 Isaac Hays, MD and John Bell, MD Award for Leadership in Medical Ethics and Professionalism, American Medical Association
- 2007 Best Doctors in America (and every year since)
- 2008 Special Recognition Award, American Psychiatric Association
- 2008 Max and Sara Cowan Memorial Lectures in Humanistic Medicine, University of Utah School of Medicine
- 2008 America's Top Doctors (and every year since)
- 2009 Honorary Member, Israel Psychiatric Association
- 2009 18th Annual John J. Conley, MD Lecture in Medical Ethics, St. Vincent's Hospital, NY, NY
- 2010 Highly Cited Researcher, Institute for Scientific Information
- 2010 Sconyers/Godfrey Ethics Lecture, Seattle Children's Hospital/University of Washington
- 2010 Keynote Speaker, Annual Meeting, Royal Australia and New Zealand College of Psychiatrists, Auckland, NZ
- 2010 Oscar M. Ruebhausen Lecture, School of Law, University of Southern California, Los Angeles
- 2011 Special Presidential Commendation, American Psychiatric Association
- 2011 Residents' Choice Grand Rounds Lecturer, Dept. of Psychiatry, NY State Psychiatric Institute/Columbia University

2011 Fellow, The Hastings Center
 2012 Charles E. Smith Memorial Lecture, National Institute for Psychobiology
 in Israel, Jerusalem

Grant Support

Past Funding

1979-1980 Principal Investigator, Patients' Competence to Consent to Hospitalization, Foundations Fund for Research in Psychiatry.

1980-1983 Principal Investigator, Clinical Training in Forensic Psychiatry, National Institute of Mental Health.

1980-1984 Co-Investigator, Legal and Ethical Issues in Psychiatric Research, Foundations Fund for Research in Psychiatry. (Loren H. Roth, M.D., Principal Investigator)

1981-1982 Principal Investigator, Patients Who Refuse Treatment in Medical Hospitals, President's Commission for the Study of Ethical Problems in Medicine and Biomedical and Behavioral Research.

1983-1984 Principal Investigator, Studies of Civil Commitment of the Mentally Ill, Research Scientist Development Award, National Institute of Mental Health.

1987-1988 Principal Investigator, Neuropsychological Correlates of Competence, Basic Science Research Grant (NIH), University of Massachusetts Medical Center.

1989-1996 Co-Principal Investigator, Assessing the Decision-making Capacities of the Mentally Ill, John D. and Catherine T. MacArthur Foundation (with Thomas Grisso, PhD), \$1,084,873.

1989-1997 Co-Principal Investigator and Site PI, Risk Assessment of Violence in the Mentally Disordered (Henry Steadman, PhD, Principal Investigator), John D. and Catherine T. MacArthur Foundation, approx. \$1,200,000.

1998-2000 Co-Principal Investigator, Informed Consent and the Therapeutic Misconception, NIMH, (Charles Lidz, PhD, Principal Investigator), \$600,000.

1999-2004 Consultant, Clinical Antipsychotic Trials in Intervention Effectiveness, NIMH Grant # R01-MH90001 (Jeffrey Lieberman, M.D., Principal Investigator), \$42,750.

2000-2004 Co-Investigator, Research Ethics in Schizophrenia, NIMH Grant # R01 MH58898-06 (Will Carpenter, MD, Principal Investigator), subcontract \$85,000.

- 2001-2003 Co-Investigator and Site PI, Violence Risk Assessment Software (SBIR), NIMH Grant # R44-MH59453-02 (Henry Steadman, PhD, Principal Investigator) subcontract \$14,690.
- 2002-2004 Co-Principal Investigator and Site PI, Prevalence Study of Leverage in Community Treatment, John D. and Catherine T. MacArthur Foundation, \$73,797.
- 2005 Principal Investigator, Leverage in Assertive Community Treatment Programs, John D. and Catherine T. MacArthur Foundation, \$43,000.
- 2004-2006 Co-Investigator, Competition Between Science and Care In Clinical Trials, NINDS Grant # R01-NS049595 (Charles Lidz, PhD, Principal Investigator), \$436,365.
- 2002-2006 Co-Investigator, Effectively Implementing Psychiatric Advance Directives, NIMH Grant # R01 MH063949-02 (Jeffrey Swanson, PhD, Principal Investigator), subcontract \$44,902.
- 2007-2008 Principal Investigator, Voluntary Decision Making About Participation in Human Subjects Research. Greenwall Foundation, \$48,900.
- 2004-2008 Co-Investigator, DVD Consent for Research in Older Schizophrenia Patients, NIMH Grant #1-R01-MH067902-01 (Dilip Jeste, MD, Principal Investigator), subcontract \$33,430.
- 2004-2010 Co-Investigator, Research Ethics in Schizophrenia, NIMH Grant #2 R01 MH58898-06 (Will Carpenter, MD, Principal Investigator), subcontract \$119,156.
- 2008-2010 Co-Investigator, Capacity to Appoint a Proxy for Dementia Research, NIMH Grant #R01 MH075023 (Scott Kim, MD, PhD, Principal Investigator), subcontract \$48,933.
- 2008-2010 Co-Investigator, Examining Ethical Issues in Research on Deep Brain Stimulation, Greenwall Foundation, (Laura Dunn, MD, Principal Investigator), subcontract \$10,980.
- 2009-2011 Co-Investigator, Modifiable Risk and Protective Factors for Suicidal Behaviors in the US Army, NIMH Grant #1U01 MH087981-01 (Robert Ursano, MD, Principal Investigator), 10% FTE
- 2006-2011 Co-Investigator and Site PI, An Observational Description Study of IRB Practices, NCI Grant #1R01CA107295 (Charles Lidz, PhD, Principal Investigator), subcontract \$207,000.

- 2007-2011 Co-Investigator, Proxy Decision-Making for Alzheimer Disease Research, NIA Grant # 1R01AG027986 (Laura Dunn, MD, Principal Investigator). subcontract \$79,250.
- 2008-2011 Co-Investigator, Ethical Issues in Surrogate Consent for Dementia, NIA Grant #R01 AG029550 (Scott Kim, MD, PhD, Principal Investigator), subcontract \$111,333.
- 2009-2012 Co-Investigator, Capacity of Children and Teens to Decide About Cancer Trials, NCI Grant # 1 R21 CA134864-01A1 (Steven Joffe, MD, PhD, Principal Investigator), subcontract \$62,632.
- 2009-2012 Co-Investigator, The Blurring of Treatment and Research in Clinical Trials: Two Problems, NINR Grant #1RC1 NR011612-01 (Chuck Lidz, PhD, Principal Investigator), subcontract \$123,584

Active Funding

- 2006-2016 Co-Investigator and Director of Ethics Resource, Clinical and Translational Science Award, NIH Grant #1 UL1 TR000040 (Henry Ginsberg, MD, Principal Investigator), 7% FTE.
- 2008-2013 Co-Director of the Ethics and Policy Core, HIV Center for Clinical and Behavioral Studies. NIMH Grant # P30 MH43520 (Anke Ehrhardt, PhD, Principal Investigator). \$1,587,706, 10% FTE (contributed).
- 2010-2013 Principal Investigator, Center for ELSI Research on Psychiatric, Neurologic, and Behavioral Genetics, NHGRI grant # 1P20HG005535-01, \$150,000/yr.
- 2011-2013 Principal Investigator, Challenges of Informed Consent in Return of Data from Genomic Research, NHGRI grant # 1R21HG006596-01, \$125,000/yr.
- 2011-2014 Co-Investigator, Impact of Return of Incidental Genetic Test Results to Research Participants, NHGRI grant #1 R01 HG006600-01 (Wendy Chung, MD, PhD & Jo Phelan, PhD, Co-Principal Investigators), \$499,682/yr.
- 2011-2012 Co-Principal Investigator, Bioethics in the Northern Manhattan Center of Excellence in Minority Health and Health Disparities, NIMHD grant # (NOCEMHD)C3P60MD000206-09S2, (Jose Luchsinger, MD, MPH, PI), \$200,000/yr.
- 2012-2017 Co-Investigator, Understanding Therapeutic Optimism and its Impact on Risk-Benefit Assessment NCI grant #1R01CA166556-01A1 (Lynn Jansen, PhD, PI), \$15,804/yr.

Departmental and University Committees*University of Pittsburgh School of Medicine:*

- 1983-1984 Mental Health Clinical Research Center Seed Monies Committee,
Department of Psychiatry
- 1983-1984 Academic Promotions Committee, Department of Psychiatry

Harvard Medical School:

- 1984-1985 Committee on Governance, Department of Psychiatry
- 1984-1995 Working Group on Mental Health Policy, Division of Health Policy
Research and Education
- 1994, 1995 Ad Hoc Committee on Professorial Appointment

University of Massachusetts Medical School:

- 1985-1986 Task Force on Medical Humanities
- 1986-1988 Task Force on the Impaired Student
- 1986-2005 Executive Committee, Department of Psychiatry
- 1991-1992 Ethicist Search Committee (Chair)
- 1992-1998 Chancellor's Advisory Committee
- 1992-2005 Executive Faculty Council (Secretary, 1995-1996; President 1997-99)
- 1993-1995 Pharmacology Chair Search Committee
- 1994-1995 Task Force on Multi-year Contracts (Chair)
- 1994-1995 Task Force on Tenure Policy
- 2003 Work Group on Composite Assessment of the Clinical Departments (Chair)
- 2004-2005 Search Committee for Neurology Chair

University of Massachusetts Medical Center

- 1985-1992 Treatment Issues Committee (Chair, Subcommittee on Consent, 1988;
Vice-Chair, 1986-1988; Chair, 1989-1992)
- 1992-1998 Hospital Executive Committee
- 1992-1998 Group Practice Advisory Committee
- 1993-1998 Clinical Policies Committee
- 1995-1996 Task Force on the Role of the Clinical Chairs (Co-Chair)

UMass Memorial Health Care

- 1998-2001 Physician's Advisory Board
- 1998-2005 Leadership Council (prior to 2003, Clinical Chairs Council)
- 1998-1999 Group Practice Advisory Committee
- 1998-2005 UMass Memorial Behavioral Health System
(President and Chairman of the Board)
- 1998-2001 Ethics and Treatment Issues Committee
- 1999-2003 Board of Directors, UMass Memorial Medical Group
- 2003-2005 Palliative Care Steering Committee
- 2004-2005 Finance Committee, UMass Memorial Medical Group

Columbia University

2006-2007	Ethics Committee, Department of Psychiatry
2006-2007	Sachar Award Selection Committee, Department of Psychiatry
2006-	Advisory Board, Center for the Study of Science and Religion
2006-2007	Geriatric Psychiatry Division Director Search Committee, Department of Psychiatry (Chair)
2006-	Executive Committee, Clinical and Translational Research Award (CTSA), Columbia University Medical Center
2007-2008	Committee to Review Medical Student Teaching in Psychiatry, Department of Psychiatry (Chair)
2007-	Committee on Conflicts of Interest Policy at the College of Physicians and Surgeons
2007-	Ethics Advisory Board, Department of Psychiatry (Co-chair)
2007-2008	Residency Training Director Search Committee, Department of Psychiatry
2007-	Member, Prevention, Control and Disparities Program, Columbia Cancer Center
2008	Committee to Review the Residency Training Curriculum, Department of Psychiatry (Chair)
2008-2011	Executive Advisory Committee, Department of Psychiatry
2008	Subcommittee on Consent and Privacy, Biobank Planning Committee (chair)

Teaching Experience and Responsibilities

1971-1972	Teaching assistant in biology, Columbia University
1974	Teaching assistant in neuropathology, Harvard Medical School
1977-1979	Clinical supervisor of medical students on psychiatry rotations, Harvard Medical School
1978-1979	Seminar leader and psychiatric consultant, Harvard Voluntary Defenders, Harvard Law School
1979-1980	Organizer and Director, Ethics Rounds, Massachusetts Mental Health Center
1979-1980	Supervisor of residents in legal psychiatry, Massachusetts Mental Health Center
1980-	Lecturer at grand rounds, symposia, and seminars in the United States and Canada
1980-1984	Supervisor of and lecturer to medical students and residents on legal psychiatry rotations, Western Psychiatric Institute and Clinic
1980-1981	Organizer and lecturer, course on Introduction to Psychiatry, psychology and social work trainees, Family Therapy Clinic, Western Psychiatric Institute and Clinic
1981-1984	Supervisor of residents in psychotherapy, Western Psychiatric Institute and Clinic
1982-1984	Teacher and co-teacher, Mental Health Law, University of Pittsburgh School of Law

1983-1984	Co-teacher, Law and Medicine, University of Pittsburgh School of Law
1985-2005	Supervisor of residents in psychotherapy, University of Massachusetts Medical School
1985-2005	Lecturer on legal and ethical issues in the practice of psychiatry and medicine to medical students and residents, University of Massachusetts Medical School
1988-1989	Lecturer, Law and Psychiatry (seminar for faculty); The Concept of Mental Competence in Law (seminars for faculty and students), Georgetown University Law Center
1993-2005	Small group leader, Mind, Brain, Behavior II Course, University of Massachusetts Medical School
1996	Co-organizer and lecturer, Law & Medicine (elective course for medical students), University of Massachusetts Medical School.
2004-2005	Lecturer on Suicide, Mind, Brain, Behavior II Course, University of Massachusetts Medical School
2006-	Seminar leader on law and psychiatry, Psychiatry Residency Training Program, Columbia University
2006-	Supervisor, Forensic Psychiatry Fellowship Program, Columbia University
2006-2009	Seminar on Informed Consent, Columbia Law School
2007-	Seminar on Mental Health Law, Columbia Law School
2010-	Seminar on Genetics and Law, Columbia Law School

Other Professional Activities

1978	Task Force on Involuntary Medication, Massachusetts Department of Mental Health
1978-1980	Committee on Human Studies, Joslin Diabetes Foundation, Boston, MA
1981-1983	Advisory Board, Involuntary Civil Commitment Project, National Center for State Courts, Williamsburg, VA
1981-1983	Advisory Board, Patients' Rights Research Project, Human Interaction Research Institute, Los Angeles, CA
1982-1987	Commission on the Mentally Disabled, American Bar Association
1982-1984	Ethics/Human Rights Committee, Presbyterian-University Hospital, Pittsburgh, PA
1984	Forensic Subcommittee, Special Advisory Committee on Public Policy, United Mental Health of Western Pennsylvania, Pittsburgh, PA
1984-1988	National Task Force on Standards for Involuntary Civil Commitment, National Center for State Courts, Williamsburg, VA
1984-1986	Mental Health Law Committee, American Society of Law and Medicine (co-chairman)
1985-1986	Advisory Board, Legal Procedures for Handicapped Infant Care Project, American Bar Association
1987-1996	Research Network on Mental Health & the Law, John D. and Catherine T. MacArthur Foundation
1987	Participant, National Invitational Conference on the Future of Psychiatry
1987-1990	Advisory Committee to the American Academy of Forensic Sciences Committee on Ethics

1989-1991	Massachusetts House Committee on Physician/Therapist Sexual Misconduct, Subcommittee on Criminal/Civil Statutes
1992-2005	Board of Directors, Community HealthLink, Inc. (formerly Worcester Area Community Mental Health Center)(executive committee, 1992-2005)
1992-1994	Working Group on Guidelines for Maintenance of Boundaries in Psychotherapy, Massachusetts Board of Registration in Medicine
1993-1994	Ad Hoc Working Group for Mental Health and Criminal Justice Systems, Center for Mental Health Services, Substance Abuse and Mental Health Services Administration
1994-2000	Forensic Advisory Council, Massachusetts Department of Mental Health
1995-1996	Ethics Advisory Board, BRCA-1 Genetic Screening Project, Dana-Farber Cancer Center, Boston
1995-1996	Project on Human Research Ethics, Center for Bioethics, University of Pennsylvania
1996-2004	Research Advisory Committee, United States Secret Service
2000-2005	Ethics Committee, Clinical Antipsychotic Trials of Intervention Effectiveness (CATIE) (chair)
2000-2010	Research Network on Mandated Community Treatment, John D. and Catherine T. MacArthur Foundation
2000	Work Group on Informed Consent and Ethical Issues in Human Studies, National Institute of Mental Health
2001-2004	Board on Neuroscience and Behavioral Health, Institute of Medicine of the National Academy of Sciences
2002-2005	Advisory Board, TRIAD Project, National Alliance for the Mentally Ill
2003	Steering Committee on the Genetics of Addiction, Institute of Medicine
2004-2005	Committee on Crossing the Quality Chasm: Adaptation to Mental Health And Addictive Disorders, Institute of Medicine
2004-2007	Ethics Advisory Board, Treatment Units for Research on Neurocognition in Schizophrenia (TURNS) Program (chair)
2006-	Advisory Board, National Resource Center on Psychiatric Advance Directives
2006-2009	Subcommittee on Research Involving Individuals with Impaired Decision-Making Capacity, Secretary's Advisory Committee on Human Research Protections (SACHRP), U.S. Department of Health and Human Services
2007	Roundtable on Student Mental Health and the Law, Jed Foundation (chair)
2007-2009	Scientific Advisory Panel, Assisted Outpatient Treatment Study, NY State Office of Mental Health
2007-2009	Committee on Health Research and the Privacy of Health Information: the HIPAA Privacy Rule, Institute of Medicine
2007-	Clinical Research Ethics Key Function Committee, Clinical and Translational Science Award (CTSA) Consortium, NIH (chair, 2007-2009)
2007-2012	Advisory Board, Scattergood Program in Applied Ethics of Psychiatry and Behavioral Health, University of Pennsylvania
2008	Planning Committee for a Conference on Military Medical Ethics, Institute of Medicine

2008-2011 Consultant, Committee on the Development of the 3rd Edition of the Reference Manual on Scientific Evidence, Federal Judicial Center/National Academy of Sciences

2008- Scientific Council, National Alliance on Mental Illness

2008- Standing Committee on Ethics, World Psychiatric Association

2008- Advisory Committee, Voting and Cognitive Impairments Project, American Bar Association

2009- Honorary Advisor, Chinese Dementia Research Association

2010- Board member, Israel Healthcare Foundation

2010- Board of Advisors, Saks Institute for Mental Health Law, Policy and Ethics, University of Southern California

2012- G2I Committee on Neuroscience and the Criminal Law, Research Network on Law and Neuroscience, John D. and Catherine T. MacArthur Foundation

Grant Reviewer:

National Institute of Mental Health (ad hoc, including NIH Challenge Grants in Health and Science Research; Special Emphasis Panel on ELSI Genetics; member, College of Reviewers, Center for Scientific Review); National Science Foundation; Social Sciences and Humanities Research Council (Canada); Wellcome Trust (UK); Netherlands Organization for Scientific Research; Alzheimer's Association; Dana Foundation; Institute of Neurosciences, Mental Health and Addiction, Canadian Institutes of Health Research; National Institute of Health Research (UK); Netherlands Organization for Health Research and Development; John D. and Catherine T. MacArthur Foundation; Policy Research Program, Department of Health (UK).

Journal Referee:

American Journal of Psychiatry; Psychiatric Services (formerly Hospital and Community Psychiatry); Journal (formerly Bulletin) of the American Academy of Psychiatry and the Law; International Journal of Law and Psychiatry; Law and Human Behavior; Law and Society Review; General Hospital Psychiatry; Journal of Nervous and Mental Diseases; Journal of the American Medical Association; New England Journal of Medicine; Psychosomatics; Journal of Health Policy, Politics and Law; American Psychologist; Archives of General Psychiatry; Psychiatry; Qualitative Sociology; Journal of Intensive Care Medicine; Hastings Center Report; Journal of Clinical Medical Ethics; Behavioral Sciences & The Law; American Journal of Geriatric Psychiatry; Milbank Quarterly; Schizophrenia Bulletin; Journal of Clinical Psychiatry; Medical Principles and Practice; International Journal of Psychiatry in Medicine; Southern Medical Journal; Archives of Internal Medicine; Academic Psychiatry; Epidemiology; Psychology, Public Policy and Law; Journal of Practical Psychiatry & Behavioral Health; Journal of Law, Medicine & Ethics; Philosophy, Psychiatry and Psychology; Biological Psychiatry; Psychosomatic Medicine; Journal of the American Academy of Dermatology; Journal of Public Health Policy; Israel Journal of Psychiatry; Neuropsychopharmacology; Journal of Clinical Oncology; Journal of Forensic Psychiatry; Journal of Forensic Psychology Practice; Kennedy Institute of Ethics Journal; International Journal of Neuropsychopharmacology;

American Journal of Public Health; Lancet; Journal of Traumatic Stress; Health Affairs; Medical Anthropology Quarterly; Journal of Clinical Psychiatry; Theoretical Medicine & Bioethics; Journal of Affective Disorders; Behavior Research and Therapy; International Journal of Forensic Mental Health; Journal of Neuropsychiatry and Clinical Neuroscience; BioMed Central: Public Health; Harvard Review of Psychiatry; Community Mental Health Journal; BioMed Central: Psychiatry; Canadian Journal of Psychiatry; Administration and Policy in Mental Health and Mental Health Services Research; European Journal of Psychiatry; Journal of Social and Clinical Psychology; American Journal of Bioethics; BioMed Central: Medical Ethics; Psychological Medicine; Psychological Reports; Accountability in Research; Journal of the International Neuropsychological Society; Neurology; Journal of Child Psychopharmacology; Current Psychiatry; Social Psychiatry and Psychiatric Epidemiology; Journal of the American Geriatrics Society; European Journal of Cognitive Psychology; International Psychogeriatrics; Acta Psychiatrica Scandinavica; IRB: Ethics & Human Research; Journal of Clinical Psychology; Jurimetrics; International Journal of Methods in Psychiatric Research; American Journal of Bioethics: Primary Research; Journal of Ethics in Mental Health; Bioethics; Expert Review of Neurotherapeutics; Journal of the American Medical Directors Association; Journal of Bioethical Inquiry; CNS Drugs; Contemporary Clinical Trials; Bipolar Disorder; Health Care Analysis (UK); Journal of Mental Health (UK); Schizophrenia Research; Health Psychology Review; Science Translational Medicine; Journal of Medical Ethics.

Editorial Boards:

1981-	Contributing Editor (Law and Psychiatry), Psychiatric Services (prior to 1995, Hospital and Community Psychiatry)
1982-1986	Editorial Board, Contemporary Psychiatry
1982-1987	Editorial Advisory Board, Mental and Physical Disability Law Reporter (chairman, 1982-1987)
1983-1992	Editorial Board, Law, Medicine and Health Care
1983-1990	Associate Editor, Bulletin of the American Academy of Psychiatry and the Law
1984-1994	Editorial Board, International Journal of Law and Psychiatry
1984-	Editorial Advisory Board, Law and Human Behavior
1986-1993	Editorial Advisory Board, Law and Mental Health Professionals series, American Psychological Association
1989-1994	Editorial Board, Criminal Behavior and Mental Health
1990-1994	Associate Editor, American Journal of Psychiatry
1993-1996	Editorial Advisory Board, Clinical Psychiatry News
1993-	Editorial Advisory Board, Psychiatry
1995-	Consulting Editor, Ethics and Behavior
1995-2006	Editorial Board, Behavioral Sciences and the Law
1999-	Editorial Board, Journal of Forensic Psychiatry and Psychology (UK)
2005-	Editorial Board, Schizophrenia Bulletin
2004-	International Editorial Board, Journal of Ethics in Mental Health
2005-	Advisory Board, International Review of Psychiatry
2005-	Editorial Board, BioMed Central: Psychiatry

2008- Editorial Board, Psychiatry, Psychology and Law (Australia/NZ)
 2010- Editorial Board, American Journal of Bioethics—Primary Research
 2010- International Editorial Board, Brazilian Journal of Psychiatry
 2012- Editorial Board, Peer J

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PEER REVIEWED ARTICLES:

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3. *Appelbaum PS, Shader RI, Funkenstein HH, Hanson MA: Difficulties in the clinical diagnosis of lithium toxicity. *American Journal of Psychiatry* 1979; 136:1212-1213

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5. *Appelbaum PS, Gutheil TG: Drug refusal: a study of psychiatric inpatients. *American Journal of Psychiatry* 1980; 137:340-346

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11. *Appelbaum PS, Mirkin SA, Bateman AL: Empirical assessment of competency to consent to psychiatric hospitalization. *American Journal of Psychiatry* 1981; 138:1170-1176

12. *Appelbaum PS, Roth LH: Clinical issues in the assessment of competency. *American Journal of Psychiatry* 1981; 138:1462-1467

13. *Appelbaum PS, Reiser SJ: Ethics rounds: a model for teaching ethics in the psychiatric setting. *Hospital & Community Psychiatry* 1981; 32:555-560

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14. *Appelbaum PS, Roth LH: Competency to consent to research: a psychiatric overview. *Archives of General Psychiatry* 1982; 39:951-958. Reprinted as Les aspects psychiatriques du consentement valable en recherche, in Wachter M, Roy DJ, Doucet H, et al., (eds.): *Cahiers de Bioethique*, 4: *Medicine et Experimentation*. Quebec, Les Presses de L'Universite Laval, 1982. Excerpted in Reisner R, Slobogin C. (1990) *Law and the Mental Health System: Civil and Criminal Aspects*, 2nd edition, West Publishing, St. Paul, MN.

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August 17, 2012

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Expert Testimony by Deposition or Courtroom Testimony Over the Last 4 Years

Caulfield v. Imagine Advisors, Inc. No. 07 Civ 1257 (DC), U.S. District Court, Southern District of NY, September 2 and 3, 2008 (deposition—retained by plaintiff).

Pringle v. SC Dept. of Corrections, Court of Common Pleas, Civil Action #07-CP-03-360, County of Allendale, SC, December 17, 2009 (deposition—retained by plaintiff).

Mulligan v. Rosedale, Jefferson County (KY) Circuit Court, No. 09-CI-03494, March 1, 2011 (deposition—retained by defendant).

Mulligan v. Rosedale, Jefferson County (KY) Circuit Court, No. 09-CI-03494, March 1, 2012 (trial testimony—retained by defendant).

Paul S. Appelbaum, MD - Forensic Psychiatry Rates

Work performed in office (e.g., review of records, preparation of report, telephone conferences, etc.)	\$500/hour
Work involving travel (e.g., depositions, testimony)	\$2500/half day \$5000/full day + expenses